

BASE SYSTEM CIVILIAN PERFORMANCE COUNSELING CHECKLIST/RECORD

For use of this form, see AR 690-400; the proponent agency is ASAM&RA

RATEE JOHNSON, RAYMOND A.		RATER SMART, DONNA
ORGANIZATION/INSTALLATION TAGD, Support Div, Recs Br, Retrieving & Disposal		INTERMEDIATE RATER (Optional) DENN, JAMES F.
PAY PLAN, SERIES/GRADE GS-204-06	RATING PERIOD 97 12 01- 98 11 30	SENIOR RATER MAYFAIR, SUSAN J.
<p>PURPOSE. The primary purpose of counseling is to define organizational mission and values, discuss individual job expectations and performance, reinforce good performance/work related behavior, correct problem performance/work related behavior, and enhance the Ratee's ability to set and reach career goals. The best counseling is forward looking, concentrating on the future and what needs to be done better. Counseling should be timely. Counseling only at the end of the rating is too late since misunderstandings that impact performance and work related behavior cannot be resolved in time for improvement before the next annual rating.</p> <p>RULES FOR COUNSELING.</p> <ol style="list-style-type: none"> 1. Face-to-face counseling is mandatory for all civilians in the Base System. 2. Use this form along with a working copy of the Evaluation Form (DA Form 7223) and the Ratee's position description for conducting performance counseling and recording counseling content/dates. 3. Conduct initial counseling within at least the first 30 days of each rating period and again at the midpoint of the rating period. 		<p>AFTER COUNSELING</p> <ol style="list-style-type: none"> 1. Summarize key points of the counseling on the back of this form and initial in the block provided. You may attach additional pages. 2. Give the Ratee the form to review/initial. 3. If the Ratee gave written input, attach it. 4. Forward the checklist through the rating chain to the Senior Rater (if used) who should review and, when satisfied that requirements are in line with mission needs, initial and date the checklist and return it to you. 5. Give the Ratee a copy and keep the original to use for the next counseling session.

CHECKLIST - COUNSELING AT THE BEGINNING OF THE RATING PERIOD

CHECKLIST - LATER COUNSELING SESSION(S)

PREPARATION

PREPARATION

Schedule the counseling session and notify the Ratee; suggest the Ratee write down or be ready to discuss ideas about expectations and requirements.

1. Schedule the counseling session with the Ratee. Tell him/her to come prepared to discuss accomplishments and review requirements and effectiveness of any completed training.

2. Get a copy of the Ratee's position description, rating chain, the counseling checklist, and a blank evaluation form.

2. Review notes from the last session.

3. Think how each Value and each Responsibility in Part V of the evaluation form applies.

3. Consider whether priorities or expectations have changed.

4. Decide what you consider necessary for success in each Value/Responsibility. Be specific.

4. For each Value/Responsibility, answer these questions: What has the Ratee done? What was done well? Why? What could have been done better? Why?

5. Make notes to help you with counseling.

5. Make notes to help focus when counseling.

COUNSELING

COUNSELING

1. Explain the rating chain and the roles of each rater.

1. Discuss job requirements and areas of special emphasis and priorities that have changed or that are new. Ask the Ratee if he/she is having problems and needs your help.

2. Discuss the position description. If the Ratee has worked in the job before, ask if he/she believes the description is accurate.

2. If the Ratee gives written input, review it.

3. Discuss items that require top priority effort (areas of special emphasis)-realizing this may change later.

3. Tell how the Ratee is doing. Talk specific examples of observed actions/results. Discuss differences in your views. Offer assistance if needed. The goal is to help the Ratee succeed.

4. Discuss each Value/Responsibility in Part V of the evaluation form. Ask the Ratee for ideas about what Values mean and how he/she might perform assigned duties.

4. Give examples of Excellence that occurred or could have occurred.

5. Review the Ratee's written input if he/she provides it.

5. At least during the midpoint counseling session, discuss the Ratee's career goals, the effectiveness of training, and the Ratee's potential to perform higher level or different tasks.

6. Discuss what tasks and level of performance you expect for Success.

AFTER COUNSELING

7. If you and the Ratee have different views, discuss them until you both are clear on requirements. Even if the Ratee disagrees, he/she must understand what you expect.

1. Follow the same procedures for documenting, initialing, and dating as you did for the initial session.

8. Using the DA-established performance standards and the tasks to be accomplished give examples of Excellence to give the Ratee specifics to aim for.

2. At the end of the rating period, use the checklist to prepare the Ratee's evaluation. Then attach the Counseling Checklist/Record to the performance evaluation for use by the rating chain. After the Senior Rater signs the performance evaluation, he/she returns it to the Rater to discuss with Ratee, if a senior rater is used. After the Ratee signs, the Rater submits the evaluation with the checklist to the servicing personnel of file for filing.

9. Ask the Ratee about career goals and training needs.

DA RESPONSIBILITIES AND PERFORMANCE STANDARDS

To derive Responsibilities ratings, think about the tasks that were performed under each Responsibility and apply the following performance standards which are written at the Success (Meets) level; e.g., the Rates usually:

TECHNICAL COMPETENCE. Has knowledge, skills and abilities to do the work. Produces expected quality and volume. Meets deadlines. Works with right amount of supervision. Gets desired results.

ADAPTABILITY/INITIATIVE. Can work under pressure or during changing conditions. Is willing to try new ways. Suggests better ways to do business. Seeks/accepts developmental opportunities.

WORKING RELATIONSHIPS/COMMUNICATIONS. As a team member, works well with group and helps others get the job done. Expresses ideas clearly. Follows instructions or asks for clarification. Shows respect and is courteous. Shows concern for customer.

RESPONSIBILITY/DEPENDABILITY. Accepts responsibility for own actions. Keeps work area in order and equipment maintained. Uses supplies, equipment and time as intended. Complies with DA emphasis programs, e.g., Total Army Quality (TAQ), safety/security, internal control, inventory management, quality assurance, EEO/AA. Schedules emergency leave in advance to avoid adverse impact to work unit effectiveness.

FOR POSITIONS WITH SUPERVISORY DUTIES:

SUPERVISION/LEADERSHIP. Sets and communicates unit goals that reflect organizational goals. Implements/complies with appropriate DA emphasis programs. Sets standards by example. Takes timely/appropriate personnel actions. Recruits/retains quality force. Motivates, coaches and develops subordinates, through counseling on expectations, performance, and career goals. Resolves conflict and maintains order.

EQUAL EMPLOYMENT OPPORTUNITY/AFFIRMATIVE ACTION (EEO/AA). Applies EEO principles to all aspects of personnel management (e.g., hiring, training, work assignments, discipline, counseling and awards). As appropriate, takes immediate corrective action if sexual harassment or other discriminatory/unfair treatment is observed, reported or suspected. Provides leadership and emphasis to the execution of the Affirmative Employment Plan. Participates in EEO/AA activities and encourages subordinates to do so.

COUNSELING RECORD/INDIVIDUAL PERFORMANCE STANDARDS

DATE OF COUNSELING	RATEE/RATER CITY. RATER SESSION RATER INITIALS	KEY POINTS MADE
INITIAL 97-12-11 97-12-16 97-12-20 97-12-30	R.A.J. D.S. J.F.D. S.J.M.	- PLAN FOR PERSONNEL CUTBACKS - IDENTIFY COMPUTER NEEDS; REQUISITION EQUIPMENT - CONDUCT QTRLY SPOT-CHECK OF MINIMUM 100 PERSONNEL RECORD - REDUCE OWCIP & O.T. COSTS - 10% EACH BY FY END - COMPLETE UNIT'S TRAINING NEEDS SURVEY NLT OCT 98 - ATTEND BASIC SUPERVISION COURSE
LATER (Optional)		
MIDPOINT 98-06-06 98-07-09 98-07-14 98-07-18	R.A.J. D.S. J.F.D. S.J.M.	- SUBMITTED TIMELY EEO GOALS THAT ARE AGGRESSIVE BUT ATTAIN- ABLE WITH CONCERTED EFFORT; GOOD BRANCH SUPPORT - REQUISITIONED 2 MONTHS TO AUTOMATE RECORDS; TIME TO BEGIN WORK- ING WITH CONTRACTORS ON WORK UNIT TRAINING - MADE LIGHT DUTY ASSIGNMENT FOR CLERK WITH INJURED BACK - RE- DUCED CLAIM COST BY 50% - QUARTERLY REVIEW OF RECORDS STILL DISCLOSES DISPOSAL ERRORS - NEEDS MORE EMPHASIS
LATER (Optional)		

BASE SYSTEM CIVILIAN EVALUATION REPORT For use of this form, see AR 690-400; the proponent agency is ASAIM&RA)

PART I - ADMINISTRATIVE DATA

a. NAME (Last, First, Middle Initial) JOHNSON, RAYMOND A.	b. SSN [REDACTED]	c. POSITION TITLE, PAY PLAN, SERIES AND GRADE GS-204-06 Supv Files Clerk
d. ORGANIZATION/INSTALLATION TAGD, Support Div, Recs Br, Retrieving & Disposal		e. REASON FOR SUBMISSION <input checked="" type="checkbox"/> ANNUAL <input type="checkbox"/> SPECIAL
f. PERIOD COVERED (YYYYMMDD) FROM 9712/01 THRU 9811/30	g. RATED MOS. 12	h. RATEE COPY (Check one and date) <input checked="" type="checkbox"/> GIVEN TO RATEE <input type="checkbox"/> FORWARDED TO RATEE 12-14-98

PART II - AUTHENTICATION

a. NAME OF RATER (Last, First, Middle Initial) SMART, DONNA	SIGNATURE <i>Donna Smart</i>	DATE 12/2/98
GRADE/RANK, ORGANIZATION, DUTY ASSIGNMENT GS-7, Support Division, Records Branch, Chief, Retrieving and Disposal Section		
b. NAME OF INTERMEDIATE RATER (Last, First, Middle Initial) DENN, JAMES F.	SIGNATURE <i>James F. Denn</i>	DATE 12/8/98
GRADE/RANK, ORGANIZATION, DUTY ASSIGNMENT GS-9, Support Division, Chief, Records Branch		
c. NAME OF SENIOR RATER (Last, First, Middle Initial) MAYFAIR, SUSAN J.	SIGNATURE <i>Susan J. Mayfair</i>	DATE 12-13-98
GRADE/RANK, ORGANIZATION, DUTY ASSIGNMENT GS-11, TAGD, Chief, Support Division		
d. RATEE: I understand my signature does not constitute agreement or disagreement with the evaluations of the Rater and Senior Rater, and merely verifies Part I and Part IV data.	SIGNATURE OF RATEE <i>Raymond A. Johnson</i>	DATE 12/14/98

PART III - PERFORMANCE AWARD/QUALITY STEP INCREASE

PERCENT OF SALARY (EXCLUDES Locality Pay) 2 % (OR)	AWARD APPROVED BY <i>Susan J. Mayfair</i>
AMOUNT : 450.00 (OR)	DATE (YYYYMMDD) 99-1-7
SI (GS with Successful Level 1 Rating Only - minimum of 52 weeks since last OSD TO (Grade/Step))	FUND CODE ALKD03210

PART IV - DUTY DESCRIPTION (Rater)

a. DAILY DUTIES AND SCOPE (To include all appropriate people, equipment, facilities, and material. Position Description (DA Form 374) is correct) ☒ YES ☐ NO

As Work Unit Leader of the Files Disposal Unit, supervises GS-3-4 files clerks who review military personnel records and purge them in accordance with MARKS. Distributes and balances workload, instructs subordinates, and monitors work to assure that files are timely and correctly disposed. Maintains current knowledge of operations and answers questions on procedures, policies, directives, etc. Adjusts work and sets/changes priorities as Branch needs dictate. Initiates formal requests for personnel actions. Maintains adequate working conditions.

b. AREAS OF SPECIAL EMPHASIS
Implement MARKS Filing system before June Files Inspection.
Reduce Workers Compensation Program claims and costs.

c. COUNSELING DATES FROM CHECKLIST/RECORD	INITIAL 971211	LATER (Optional)	MIDPOINT 980606	LATER (Optional)
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PART V - VALUES (Rater)

VALUES	BULLET COMMENTS
Loyalty	- Always willing to help others learn.
Duty	
Respect	- Sets high personal standards; leads by example.
Selfless service	
Honor	- Likes to learn new things.
Integrity	
Personal courage	

RATEE'S NAME (Last, First, Middle Initial) JOHNSON, RAYMOND A.	SOCIAL SECURITY NUMBER <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px;"></div>	THRU DATE 9712/01 - 9811/30
B. RESPONSIBILITIES		
Specific budget examples of other than "SUCCESS" are mandatory. Specific budget examples of "SUCCESS" are optional but encouraged.		
1. TECHNICAL COMPETENCE Technical knowledges, skills, abilities Doing work right/on time Sound judgement <div style="display: flex; justify-content: space-between; font-size: x-small;"> EXCELLENCE (Exceeds std) <input type="checkbox"/> SUCCESS (Meets std) <input checked="" type="checkbox"/> NEEDS IMPROVEMENT <input type="checkbox"/> FAILS <input type="checkbox"/> </div>	<ul style="list-style-type: none"> - Expert knowledge of MARKS helped Section pass June Files Inspection w/ no "needs improvement." - First to automate; train subordinates. - Always disposed of records within 2 weeks from cutoff. 	
2. ADAPTABILITY AND INITIATIVE Adjusting to change - situations/people Trying new things Seeking self-development <div style="display: flex; justify-content: space-between; font-size: x-small;"> EXCELLENCE (Exceeds std) <input type="checkbox"/> SUCCESS (Meets std) <input checked="" type="checkbox"/> NEEDS IMPROVEMENT <input type="checkbox"/> FAILS <input type="checkbox"/> </div>		
3. WORKING RELATIONSHIPS & COMMUNICATIONS Supporting team Respecting others Expressing ideas clearly Listening/understanding <div style="display: flex; justify-content: space-between; font-size: x-small;"> EXCELLENCE (Exceeds std) <input type="checkbox"/> SUCCESS (Meets std) <input checked="" type="checkbox"/> NEEDS IMPROVEMENT <input type="checkbox"/> FAILS <input type="checkbox"/> </div>		
4. RESPONSIBILITY AND DEPENDABILITY Dependable/reliable Maintaining facilities/equipment Conserving supplies/time People/equipment safety <div style="display: flex; justify-content: space-between; font-size: x-small;"> EXCELLENCE (Exceeds std) <input checked="" type="checkbox"/> SUCCESS (Meets std) <input type="checkbox"/> NEEDS IMPROVEMENT <input type="checkbox"/> FAILS <input type="checkbox"/> </div>	<ul style="list-style-type: none"> - Rearranged office to reduce OWCP claims by 25%. - Reduced costs with two Light-duty assignments. - 100% suspense met- compared to last year's unit performance of less than 75%. 	
Numbers 5 and 6 apply to positions with some supervisory duties		
5. SUPERVISION AND LEADERSHIP Mission focused/performance oriented Sets standard/Leads by example Motivating/developing others Implementing QA emphasis program/managing resources <div style="display: flex; justify-content: space-between; font-size: x-small;"> EXCELLENCE (Exceeds std) <input type="checkbox"/> SUCCESS (Meets std) <input checked="" type="checkbox"/> NEEDS IMPROVEMENT <input type="checkbox"/> FAILS <input type="checkbox"/> </div>	<ul style="list-style-type: none"> - Established first TAQ teams in Division—to improve morale and effectiveness. - Effected sensitive employee removal with care/concern. 	
6. EEO AND AFFIRMATIVE ACTION Respecting dignity Achieving planned actions Providing opportunity Solving problems <div style="display: flex; justify-content: space-between; font-size: x-small;"> EXCELLENCE (Exceeds std) <input type="checkbox"/> SUCCESS (Meets std) <input checked="" type="checkbox"/> NEEDS IMPROVEMENT <input type="checkbox"/> FAILS <input type="checkbox"/> </div>		
PART VI - SENIOR RATER (if used) or RATER (no senior rater used)	PART VII - SENIOR RATER (if used)	
OVERALL PERFORMANCE <div style="display: flex; align-items: center; gap: 10px;"> <div style="border: 1px solid black; padding: 2px 5px;">1</div> <div style="border: 1px solid black; padding: 2px 5px;">2</div> <div style="border: 1px solid black; padding: 2px 5px;">3</div> <div style="border: 1px solid black; padding: 2px 5px; text-align: center;">X</div> <div style="border: 1px solid black; padding: 2px 5px;">4</div> <div style="border: 1px solid black; padding: 2px 5px;">5</div> </div> <div style="display: flex; justify-content: space-around; margin-top: 10px;"> SUCCESSFUL FAIR UNSUCCESSFUL (MUST Have Senior Rater Review) </div>	BULLET COMMENTS (Performance/Potential) <div style="height: 100px;"></div>	
A completed DA Form 7223-1 was received with this report and considered in my evaluation and review: <div style="display: flex; gap: 20px; margin-top: 5px;"> <input type="checkbox"/> YES <input type="checkbox"/> NO (Explain) </div>		

VALUES

IF YOU JUST CAN'T FIND THE RIGHT WORDS FOR THE VALUES BULLETS, HERE ARE SOME SUGGESTIONS:

- SINCERE AND HONEST PERSON WHO BELIEVES IN AND PRACTICES TEAM SUCCESS
- ACCEPTS CHALLENGES AND DOES WHATEVER IS REQUIRED TO TACKLE THE TASK AT HAND
- COMMITMENT AND LOYALTY TO WORK IS SECOND TO NONE
- MAINTAINS A "MISSION FIRST" ATTITUDE
- SHARES EXPERTISE WITH OTHERS BY WILLINGLY PROVIDING ADVICE AND TRAINING TO CO-WORKERS
- TOOK SEVERAL CLASSES TO HELP DEVELOP SKILLS AND FIND INNOVATIVE WAYS TO ACCOMPLISH MISSION
- WORKS WELL WITH AND IS HIGHLY RESPECTED BY CO-WORKERS AND SUPERIORS ALIKE
- DEFINITE POTENTIAL FOR INCREASED RESPONSIBILITY
- SELF-MOTIVATED; DEDICATED TO QUALITY PERFORMANCE

RATING DEFINITIONS RESPONSIBILITIES/OBJECTIVES

- **EXCELLENCE** – *Consistently exceeds* level described by standards and documented expectations; frequently produces more and/or better than expected.
- **SUCCESS** – *Usually* performs at level described by standards and documented expectations. Quality/quantity of accomplishments are generally at expected levels. Strengths clearly outweigh weaknesses.
- **NEEDS IMPROVEMENT** – *Sometimes* performs at level described by standards and documented expectations, however, fails enough so that weaknesses *slightly* outweigh strengths.
- **FAILS** – *Frequently* fails to perform at level described by standards and documented expectations. Rarely achieves expected results. Weaknesses *clearly* outweigh strengths.

TAPES BASE SYSTEM

OVERALL PERFORMANCE RATING DEFINITIONS:

SUCCESSFUL LEVEL 1 - Ratee with no supervisory duties is rated

EXCELLENCE in 3 or more of the non-supervisory Responsibilities and **SUCCESS** in the remaining non-supervisory Responsibilities. Ratee with supervisory duties is rated **EXCELLENCE** in 4 or more Responsibilities—at least one of which must be either Supervision/Leadership or EEO/AA—and **SUCCESS** in the remainder.

SUCCESSFUL LEVEL 2 - Ratee with no supervisory duties is rated

EXCELLENCE in at least one and **SUCCESS** in remainder of non-supervisory Responsibilities. Ratee with supervisory duties is rated **EXCELLENCE** in at least two Responsibilities—one must be either Supervision/Leadership or EEO/AA and **SUCCESS** in the remainder.

SUCCESSFUL LEVEL 3 - Ratee with no supervisory duties is rated **SUCCESS** in ALL Rated Responsibilities. Ratee with supervisory duties is rated **EXCELLENCE** in one or more non-supervisory Responsibilities but **SUCCESS** in both Supervision/Leadership and EEO/AA or who is rated **SUCCESS** in all non-supervisory Responsibilities and **EXCELLENCE** in either Supervision/Leadership or EEO/AA.

FAIR - Ratee is rated **NEEDS IMPROVEMENT** in 1 or more Responsibilities and not rated **FAILS** in any Responsibility.

UNSUCCESSFUL- Ratee is rated **FAILS** in 1 or more Responsibilities-regardless of ratings assigned remaining Responsibilities.

SENIOR SYSTEM CIVILIAN EVALUATION REPORT SUPPORT FORM

For use of this form, see AR 690-400; the proponent agency is ASA(M&RA)

PART I - RATEE IDENTIFICATION

a. NAME OF RATEE (Last, First, Middle Initial) DAVIS, MELVIN O. b. PAY PLAN, SERIES/GRADE GS-2130-12 c. ORGANIZATION/INSTALLATION Operations & Quality Assurance Br

PART II - RATING CHAIN - YOUR RATING CHAIN FOR THE EVALUATION PERIOD IS:

RATER	NAME KEM F. YOUNG	POSITION Chief, Operations & Quality Assr Br
INTERMEDIATE RATER (Optional)	NAME SAM O. SIMPSON	POSITION Chief, Quality Control Division
SENIOR RATER	NAME HEATHER D. BROWN	POSITION Executive Officer

PART III - VERIFICATION OF FACE-TO-FACE DISCUSSION

The following face-to-face discussions of duties, responsibilities, performance objectives, standards, and accomplishments for the rating period

7/1/97 to 6/30/98 took place:

	DATES	RATEE INITIALS	RATER INITIALS	INTERMEDIATE RATER INITIALS	SENIOR RATER INITIALS (If used)	DATE
INITIAL	7/1/97	MAD	KY	SOS	HDB	7/2/97
MIDPOINT	1/4/98	MAD	KY	SOS	HDB	1/6/98

PART IV - RATEE (Complete a, b, c below for this rating period)

a. STATE YOUR SIGNIFICANT DUTIES AND RESPONSIBILITIES. DUTY TITLE IS: Chief, Operations Branch

Supervise personnel and functional activities of Operations Branch. Direct program areas to include standardizing field operations, evaluating warehouse facilities and promoting improvements, overseeing contract administration and protecting government interests in defaults and disasters. Monitor field use of ROA and SIT Programs. Standardize storage operations for + 3700 commercial warehouses. Chair the Defense Subcommittee for Personal Property, establishing and monitoring worldwide. Investigate and recommend solutions for worldwide traffic crisis. Perform total range of personnel management responsibilities.

b. INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES/INDIVIDUAL PERFORMANCE STANDARDS

- Initiate action to procure three warehouses in Italy.
- Disseminates revised inspection procedures for warehouses NLT Mar 98. *Distribution made 2/17/98*
- Investigate traffic crisis and identify appropriate corrective action within established time frame. 1/12/97
- Complete inventories of 1/3 existing commercial warehouses under NMUC control. *60% complete*
- Develop SOP for Personal Property Movement and Storage Program in SWA NLT Nov 97. *completed Oct. 97*
- Develop and disseminate Safety Checklist for warehousing activities NLT May 98
- Prepare/present briefing on direct procurement contracting at Jan 98 Worldwide Symposium of Traffic Management Specialties. *Good report*
- Develop automated tracking system for status/results of contractor default actions.
- Lead/supervise personnel.
- E--Timely counsel subordinates and evaluate performance. *1/12 all appraisals completed in 30 days*
- E-- Place weak performer in Opportunity to Improve Period-NLT 30 Sep 97. removal affected *March 98*
- S-- Complete Training Needs Survey NLT Oct 97.
- Support EEO/Affirmative Action
- S-- Complete Branch Affirmative Employment Plan Annex NLT 30 Nov 97.
- S-- Convert two GS-11 vacant positions to Upward Mobility, GS-5 to GS-11. *only 1 converted*
- S-- Nominate two subordinates to (1) serve on FWP Committee and (2) be an EEO Counselor.
- S-- Expend awards budget *Charlie Adams* *Shelia Jones*
- \$8,000. selected in a Hnd Fall 98*

C. LIST YOUR SIGNIFICANT CONTRIBUTIONS

- Revised/disseminated Warehouse Inspection Procedures - Feb 98
- Represented two activities in litigation--CNAMT or contractor default and USATT in fire damage caused by lightning. Government prevailed in both; total cost avoided: \$35,000.
- Safety Inspection Checklist reduced costs due to personnel/equipment damage by \$25,000.
- 1300 of 3700 commercial warehouses inventories completed. Reviewed 57 on - site and paper-audited the remainder.
- Direct Procurement Contracting briefing at Jan 98 Symposium brought international acclaim.
- SOP for Personal Property Movement and Storage in SWA enabled US to develop offensive posture early on.
- Removed poor performer after Opportunity to Improve; upheld by MSPB.
- Converted GS-11 slot to support Upward Mobility Program (UMP); selected employee at GS-5 level. Awarded 12 employees for performance. Sent 5 employees to technical training and nominated GS-12 for long-term training.
- Reorganized from 3 to 2 Sections, realigning operations and reducing manpower requirements by 4 spaces.

Melvin O. Davis 6/30/98

SIGNATURE AND DATE

PART V - PERFORMANCE STANDARDS - SENIOR SYSTEM CIVILIAN POSITIONS

To derive Objectives ratings, apply the applicable performance standards below; the standards are written at the SUCCESS level, e.g., Rates, in most cases:

TECHNICAL COMPETENCE. Exhibits technical knowledge, skills, and abilities to get desired results within established time frames and with the appropriate level of supervision. Sets and meets realistic milestones. Establishes priorities that reflect mission and organizational needs. Plans so that adequate resources are available. Makes prompt and sound decisions.

INNOVATION/INITIATIVE. Develops and implements or suggests better ways of doing business--methods, equipment, processes, resources. Seeks/accepts developmental opportunities. Serves on professional/technical committees, writes technical papers, joins professional societies to enhance personal knowledge and advance state-of-the-art of profession.

RESPONSIBILITY/ACCOUNTABILITY. Uses resources prudently and for intended purposes. Complies with DA emphasis programs, e.g., EEO/AA, safety/security, internal control, inventory management, quality assurance, personnel management, contract awards to small business concerns. Supports and encourages Total Army Quality (TAQ) approaches, e.g., team effort, continuous process/product improvement and customer satisfaction. Takes responsibility for personal errors, takes or proposes timely/adequate corrective measures. Establishes personal performance objectives that are challenging and reflect mission needs.

WORKING RELATIONSHIPS. Is an effective team player. Works well with group and others to get the job done. Exhibits a customer care attitude; e.g., shows respect to others; is courteous and seeks acceptable compromise in areas of difference.

COMMUNICATION. Provides or exchanges accurate/complete oral and written ideas and information in a timely manner. Listens effectively so that resultant actions show understanding of what was said. Coordinates so that all relevant individuals and functions are included in informed decisions and actions.

FOR SUPERVISORY POSITIONS ONLY:

ORGANIZATIONAL MANAGEMENT AND LEADERSHIP. Provides vision and coordinates mission and organizational goals to all subordinates. Sets standards by example. Implements/complies with appropriate DA emphasis programs. Seeks/allocates resources for effectiveness and efficiency. Takes timely and appropriate personnel actions. Develops subordinates through mentoring, counseling, providing challenging training and assignments and timely performance evaluations. Recruits and retains high quality people by creating a positive environment that offers challenge and growth.

EQUAL EMPLOYMENT OPPORTUNITY/AFFIRMATIVE ACTION (EEO/AA). Applies EEO principles to all aspects of personnel management (e.g., hiring, training, work assignments, discipline, counseling and awards). As appropriate, takes immediate corrective action if sexual harassment or other discriminatory/unfair treatment is observed, reported or suspected. Provides leadership and emphasis to the execution of the Affirmative Employment Plan. Participates in EEO/AA activities and encourages subordinates to do so.

WRITING EFFECTIVE OBJECTIVES

a. Perhaps the most difficult part of the performance management process is expressing, in writing, exactly what you expect from your employees. You know what you want, and they most likely know what you want, but articulating that information in definite, understandable terms is a challenge.

b. First, what are the differences between objectives and standards? The objectives tell employees what they have to do and the performance standards tell them how well they have to do it. The objectives listed in the performance plan must be observable, measurable, understandable, verifiable, equitable, achievable and exceedable. They are all considered "critical". A critical objective is an element so important that failure to meet the standards for it will warrant reassignment, removal or reduction in grade of the employee. A good place to start the identification of the objectives is the PD and its breakout of major duties.

c. The DA-wide standards are preprinted on the support form. The standards measure the objectives established for the rate. They are written at the "Success" level. Since the standards are very generic, you should supplement them by including some of the following measurements in your ratees' objectives:

- QUANTITY – AUDITS 12 – 15 VOUCHERS PER DAY
- QUALITY – ROUTINE COMPUTER PROBLEMS RARELY NEED FURTHER ADJUSTMENT
- TIMELINESS – SUBMITS COMPLETED REPORTS IAW SCHEDULE
- WORK BEHAVIOR – INTERACTS WITH CUSTOMERS IN A COURTEOUS AND PROFESSIONAL MANNER, DEMONSTRATING AN ABILITY TO WORK COOPERATIVELY WITH OTHERS.

d. Helpful Hints for Writing Objectives:

- Avoid "Backward " Objectives; that is, be positive, rather than negative. For example, Raters often express an objective like, "No more than three instances of validated rudeness during the rating period." This basically guarantees the Ratee will exceed the Objective. Two instances of rudeness will exceed the Objective, when really, NO rudeness should be acceptable. So, don't write Objectives that make it acceptable. A better way to write the Objective would be to say, "Customers are treated in a courteous manner." That's a reasonable Objective and it can easily be measured and can be exceeded.
- Be careful not to write Objectives that are "Absolute", unless a single failure by the Ratee could result in death, injury, breach of security or great monetary loss.
- Objectives should be measurable. An Objective that just describes what is to be done but which does not describe how you are going to measure it is worthless. For example, "Processes service requests in accordance with governing regulations and SOPs." As written, this Objective is not measurable and can even be interpreted as being absolute because it doesn't allow for even one failure. It might better written as, "Not more than two counselings required for failure to process service requests in accordance with governing regulations and SOPs."
- Avoid the use of percentages. An Objective which reads, "Types documents with 95% accuracy" may be measurable, but it would require that you review every single document the Ratee typed during the year, count and divide the number of errors by the number of correctly typed characters on every piece of correspondence for the entire rating period.
- The AR requires that Objectives and Standards be written only at one level, the Success Level. However, if employees are told what it takes to EXCEED the Objectives and believe that, if they do, there will be a reward, most employees will do whatever it takes to exceed.

SENIOR SYSTEM CIVILIAN EVALUATION REPORT

For use of this form, see AR 690-400; the proponent agency is ASAM&RAI

PART I - ADMINISTRATIVE DATA

a. NAME (Last, First, Middle Initial) DAVIS, MELVIN O.	b. SSN [REDACTED]	c. POSITION TITLE, PAY PLAN, SERIES AND GRADE Chief, Oper. Sect., PD #1243 GS-2130-12
d. ORGANIZATION/INSTALLATION Operations & Quality Assurance Division, MNUC, Aberdeen MD 27180		e. REASON FOR SUBMISSION <input checked="" type="checkbox"/> ANNUAL <input type="checkbox"/> SPECIAL <input type="checkbox"/> INTERIM
f. PERIOD COVERED (YYYYMMDD) FROM 9706/30 THRU 9806/30	g. RATED MOS. 12	h. RATEE COPY (Check one and date) <input checked="" type="checkbox"/> GIVEN TO RATEE <input type="checkbox"/> FORWARDED TO RATEE 7/30/98

PART II - AUTHENTICATION

a. NAME OF RATER (Last, First, Middle Initial) YOUNG, KEM	SIGNATURE <i>Kem Young</i>	DATE 7/5/98
GRADE/RANK, ORGANIZATION, DUTY ASSIGNMENT GM-13, Chief, Operations and Quality Assurance Branch		
b. NAME OF INTERMEDIATE RATER (Last, First, Middle Initial) SIMPSON, SAM O.	SIGNATURE <i>Sam O. Simpson</i>	DATE 7/8/98
GRADE/RANK, ORGANIZATION, DUTY ASSIGNMENT GM-14, Chief, Quality Control Division		
c. NAME OF SENIOR RATER (Last, First, Middle Initial) BROWN, HEATHER D.	SIGNATURE <i>Heather D. Brown</i>	DATE 7/8/98
GRADE/RANK, ORGANIZATION, DUTY ASSIGNMENT GM-15, Executive Officer, MNUC		
d. RATEE: I understand my signature does not constitute agreement or disagreement with the evaluations of the Rater and Senior Rater, and merely verifies Part I and Part IV data.		SIGNATURE OF RATEE <i>Melvin O. Davis</i> DATE 7/31/98

PART III - PERFORMANCE AWARD/QUALITY STEP INCREASE

SES - AWARD, BONUS/ SALARY INCREASE	RECOMMENDATIONS				b. ST, SL, GM, GS, WS - PERFORMANCE AWARD/OS	
	RATING (1)	SALARY (2)		PERFORMANCE AWARD BONUS (3)		PERCENT OF SALARY (EXCLUDES Locality Pay) AMOUNT: \$615
RECOMMENDING OFFICIALS		YES	NO	YES	NO	% (ORI) 2 (ORI)
RATER						OSI (GS with Successful Level 1 Rating Only - minimum of 52 weeks must have elapsed since last OSI) TO (Grade/Step):
INTERMEDIATE RATER						AWARD APPROVED BY <i>Heather D. Brown</i>
PERFORMANCE REVIEW BOARD						DATE (YYYYMMDD) 98-7-24
SENIOR RATER		ES				FUND CITE ALK003215

PART IV - DUTY DESCRIPTION (Rater)

DAILY DUTIES AND SCOPE (It includes no assignment, projects, equipment, functions, and details. Position Description and Part IV is correct.) ☒ YES ☐ NO

Supervises personnel and activities of Operations Branch. Directs program areas to include standardizing field operations, evaluating warehouse facilities and promoting improvements; overseeing contract administration; and protecting government interests in defaults and disasters. Monitors ROA and SIT Programs. Standardizes storage operations for $\frac{1}{2}$ 3700 commercial warehouses. Chairs Defense Subcommittee for Personal Property, establishing procedures and monitoring worldwide. Investigates and recommends solutions for worldwide traffic crisis. Performs total range of personnel management for 23 subordinates—hiring, leading, developing, evaluating, awarding, disciplining, etc. Manages annual non-labor budget which is in excess of \$85K.

PART V - VALUES (Rater)

VALUES	BULLET COMMENTS
Loyalty	<ul style="list-style-type: none"> - Loyalty and selfless service are unparalleled. Consistently puts mission needs at top of priority list. - Courage during Bolivia disaster earned him well-deserved Meritorious Civilian Service Award. - Never says no to opportunity to serve as ambassador for MNUC.
Duty	
Respect	
Selfless service	
Honor	
Integrity	
Personal courage	

PERIOD COVERED (YYYYMMDD)
9706/30 - 9806/30

RATEE'S NAME
DAVIS, MELVIN O.

SSN

PART VI - PERFORMANCE EVALUATION (Rater)

a. PERFORMANCE DURING THIS RATING PERIOD

Comparison of individual objectives against accomplishments and DA-established performance standards resulted in the following objectives ratings:

☐ Excellence 75% or More Obj ☒ Excellence 25-74% Obj ☐ Success All or Excellence 1-24% Obj ☐ Needs Improvement 1 or More Obj ☐ Fails 1 or More Obj

Includes Excellence in Org Mgt/Ldshg OR EEO/AA

Obj for supervisor ☒ Yes ☐ No

b. BULLET EXAMPLES

- Revised warehouse inspection procedures; identified 20% as unserviceable; shifted goods to alternate sites for cost avoidance in potential property damage of \$80K.
- Technical expertise in two court cases resulted in Government's prevailing, for cost avoidance of \$35K.
- 1200 warehouse inventories completed; projected result after total inventory is reduction in storage space of at least 150 facilities.
- Exceeded Branch EEO/AA goals in recruiting, training, and awarding—enabling Division to exceed its goals.
- Safety Checklist for Warehousing reduced last year's costs in personnel/equipment damage by \$14K.
- Direct Procurement Contracting briefing at Traffic Management Specialists Symposium published in four international trade journals.
- Removed poor performer; upheld by MSPB.

PART VII - INTERMEDIATE RATER (Optional)

BULLET COMMENTS

- Astute negotiations skills and culture sensitivity progressed negotiations for warehouses in Italy at amazing speed.
- Close control of carefully projected Branch budget resulted in 98% expenditures of funds.
- Sets example for all by supporting EEO and mentoring/developing subordinates.

PART VIII - SENIOR RATER (If used)
RATER (no senior rater used)

OVERALL PERFORMANCE RATING

1
X
3
4
5
SUCCESSFUL
FAIR
UNSUCCESSFUL
(MUST Have Senior Rater Review)

PART IX - SENIOR RATER (If used)

BULLET COMMENTS (Performance/Potential)

- Hard charging, professional role model.
- Contributed significantly to US defensive posture in mid-East.
- Well deserved selection to attend AMSC.
- High potential individual; should become a senior leader in DA.

A completed DA Form 7222-1 was received with this report and considered in my evaluation and review:

☒ YES ☐ NO (Explain)

TAPES SENIOR SYSTEM

OVERALL PERFORMANCE RATING DEFINITIONS:

SUCCESSFUL LEVEL 1 – Ratee with no supervisory duties is rated EXCELLENCE in 75% or more of Objectives and SUCCESS in any remaining Objectives. Ratee with supervisory duties must be rated Excellence in either Organizational Management/Leadership Objective(s) or EEO/AA Objective(s).

SUCCESSFUL LEVEL 2 – Ratee with no supervisory duties is rated EXCELLENCE in 25-74% of rated Objectives and SUCCESS in remaining Objectives. Ratee with supervisory duties must be rated EXCELLENCE in either Organizational Management/Leadership Objective(s) or EEO/AA Objective(s).

SUCCESSFUL LEVEL 3 – All Ratees who are rated SUCCESS in ALL rated Objectives or EXCELLENCE in 1% through 24% and SUCCESS in remaining Objectives. Ratees with supervisory duties who were rated EXCELLENCE in any number of Objectives but SUCCESS in those for both Organizational Management/Leadership and EEO/AA.

FAIR – All Ratees who are rated NEEDS IMPROVEMENT in 1 or more Objective(s) and not rated FAILS in any Objective.

UNSUCCESSFUL- All Ratees rated FAILS in 1 or more Objective (s) – regardless of ratings assigned other Objectives.

RATING PROBLEMS EXERCISES

SITUATION 1: You rate an employee Block 2. The employee agrees with the appraisal and wants to improve. Some genuine differences of opinion are expressed, but the employee makes positive efforts to clarify the issues rather than be defensive.

YOUR RESPONSE:

SITUATION 2: You rate an employee Block 3. The employee does not accept responsibility for his substandard performance (you were being generous with the Block 3) and blames organization politics and other employees. **YOUR RESPONSE:**

SITUATION 3: You rate an employee Block 2. The employee disagrees with elements of your appraisal and offers specific information to refute your findings. **YOUR RESPONSE:**

SITUATION 4: You rate an employee Block 3. The employee refuses to sign. **YOUR RESPONSE:**

GENERAL TAPES EXERCISES

SITUATION 1: You make some significant revisions to the performance plan of one your "problem employees." The employee's annual rating period comes to a close in 90 days. You call your CPAC representative to find if you can you rate the employee against the revised expectations in completing his appraisal. Or, can you get an extension of the rating period? WHAT WILL BE THE CPAC'S RESPONSE?

SITUATION 2: You are the supervisor of three employees who are due their annual appraisals within the next 90 days. However, you have received a well deserved promotion to another organization and will be leaving in two weeks. You call your CPAC representative to find out what you should do about your employees' appraisals. WHAT WILL BE THE CPAC'S RESPONSE?

SITUATION 3: At the end of the rating cycle, you realize that you neglected to place your two Base System employees on a performance plan (Counseling checklist/Record, DA Form 7223-1). Moreover, you never provided them any midpoint counseling. You call your CPAC representative to find out how to correct the situation. WHAT WILL BE THE CPAC'S RESPONSE?

Performance Reviews Taken from Actual Employee Performance Evaluations

"Since my last report, this employee has reached rock bottom and has started to dig."

"His men would follow him anywhere, but only out of morbid curiosity."

"I would not allow this employee to breed."

"This employee is really not so much of a has-been, but more of a definite won't be."

"Works well under constant supervision and cornered like a rat in a trap."

"He would be out of his depth in a parking lot puddle."

"This young lady has delusions of adequacy."

"He sets low personal standards and then consistently fails to achieve them."

"This employee is depriving a village somewhere of an idiot."

"Got a full six pack, but lacks the plastic thing to hold it all together."

"A gross ignoramus – 144 times worse than an ordinary ignoramus."

"He doesn't have ulcers but he's a carrier."

"He would argue with a signpost."

"When his IQ reaches 50, he should sell."

"A photographic memory, but with the lens cover glued on."

"Donated his brain to science before he was done using it."

"Gates are down, the lights are flashing, but the train isn't coming."

"Has two brains: one is lost and the other one is out looking for it."

"If he were any more stupid, he'd have to be watered twice a week."

"If you give him a penny for his thoughts, you'd get change."

"One neuron short of synapse."

"Some drank from the fountain of knowledge, he only gargled."

"It's hard to believe that he beat out 1,000,000 other sperm."

TABLE 1 (Contributions with tangible benefits)

Estimated First-Year Benefits to Government

Up to \$ 10,000

\$10,001-\$100,000

*\$100,001 or more.....

Amount of Award

10 percent of benefits

\$ 1,000 for the first \$ 10,000 plus 3 percent
benefits over \$ 10,000\$3,700 for the, first \$ 100,000 plus .5
percent benefits over \$100,000

Quick Guide for Calculating Awards Based on Tangible Benefits

Benefits	Award	Benefits	Award	Benefits	Award	Benefits	Award	Benefits	Award
Up to	10%	50,000	2,200	170,000	4,050	1,800,00	12,200	* 1,000	1,030*
\$10,000									
1,000	1,030	51,000	2,230	91,000	3,430	175,000	4,075	1,900,000	12,700*
12,000	1,060	52,000	2,260	92,000	3,490	180,000	4,100	2,000,000	13,200*
13,000	1,090	53,000	2,290	93,000	3,490	185,000	4,125	2,100,000	13,700*
14,000	1,120	54,000	2,320	94,000	3,520	190,000	4,150	2,200,000	14,200
15,000	1,150	55,000	2,350	95,000	3,550	195,000	4,176	2,300,000	14,700
16,000	1,180	56,000	2,380	96,000	3,580	200,000	4,200	2,400,000	15,200
17,000	1,210	57,000	2,410	97,000	3,610	225,000	4,325	2,500,000	15,700*
18,000	1,240	58,000	2,440	98,000	3,640	260,000	4,460	2,600,000	16,200*
19,000	1,270	59,000	2,470	99,000	3,670	275,000	4,575	2,700,000	16,700*
20,000	1,300	60,000	2,500	100,000	3,700	300,000	4,700	2,800,000	17,200*
21,000	1,330	61,000	2,530	101,000	3,705	325,000	4,825	2,900,000	17,600*
22,000	1,360	62,000	2,560	102,000	3,710	350,000	4,950	3,000,000	18,200*
23,000	1,390	63,000	2,590	103,000	3,715	375,000	5,075	3,100,000	18,700*
24,000	1,420	64,000	2,620	104,000	3,720	400,000	5,200	3,200,000	19,200*
25,000	1,450	65,000	2,650	106,000	3,725	425,000	5,325	3,300,000	19,700*
26,000	1,480	66,000	2,680	106,000	3,730	450,000	5,450	3,400,000	20,200*
27,000	1,610	67,000	2,710	107,000	3,735	475,000	5,575	3,500,000	20,700*
28,000	1,640	68,000	2,740	108,000	3,740	600,000	5,700	3,600,000	21,200*
29,000	1,570	69,000	2,770	109,000	3,745	550,000	5,950	3,700,000	21,700*
30,000	1,600	70,000	2,800	110,000	3,450	600,000	6,200	3,800,000	22,200*
31,000	1,630	71,000	2,830	111,000	3,755	650,000	6,450	3,900,000	22,700*
32,000	1,660	72,000	2,860	112,000	3,760	700,000	6,700	4,000,000	23,200*
33,000	1,690	73,000	2,890	113,000	3,765	750,000	6,950	4,100,000	23,700*
34,000	1,720	74,000	2,920	114,000	3,770	800,000	7,200	4,200,000	24,200*
35,000	1,750	75,000	2,950	115,000	3,775	850,000	7,450	4,300,000	24,700*
36,000	1,780	76,000	2,980	116,000	3,780	900,000	7,700	4,360,000	25,000**
37,000	1,810	77,000	3,010	117,000	3,785	950,000	7,950	*Awards over \$ 10,000 require the approval of the Office of Personnel Management.	
38,000	1,840	78,000	3,040	118,000	3,790	1,000,000	8,200		
39,000	1,870	79,000	3,070	119,000	3,795	1,050,000	8,450		
40,000	1,900	80,000	3,100	120,000	2,800	1,100,000	8,700		
41,000	1,930	81,000	3,130	125,000	3,825	1,150,000	8,950		
42,000	1,960	82,000	3,160	130,000	3,850	1,200,000	9,200	**Maximum award Authorized by the Office of Personnel Management. A presidential award of up to \$ 10,000 may be paid in addition to the \$25,000.	
43,000	1,990	83,000	3,190	135,000	3,875	1,250,000	9,450		
44,000	2,020	84,000	3,220	140,000	3,900	1,300,000	9,700		
45,000	2,050	85,000	3,250	145,000	3,926	1,350,000	9,950		
46,000	2,080	86,000	3,280	150,000	3,950	1,400,000	10,200*		
47,000	2,110	87,000	3,310	155,000	3,976	1,500,000	10,700*		
48,000	2,140	88,000	3,340	160,000	4,000	1,600,000	11,200*		
49,000	2,170	89,000	3,370	165,000	4,025	1,700,000	11,700*		

TABLE 2 (Scale of awards based on intangible benefits)
 Scale of awards based on Intangible benefits

EXTENT OF APPLICATION				
Value of Benefit	Limited	Extended	Broad	General
	<p>Affects functions, mission or personnel of one office, facility, installation or an organizational element of a headquarters.</p> <p>Affects a small area of science or technology.</p>	<p>Affects functions, mission, or personnel of several offices, facilities, or installations.</p> <p>Affects an important area of science or technology</p>	<p>Affects functions, mission or personnel of an entire regional area of command. May be applicable to all of an independent agency or a large bureau.</p> <p>Affects a broad area of science or technology</p>	<p>Affects functions, mission, or personnel of several regional areas or commands, or an entire department or large independent agency or is in the public interest throughout the Nation or beyond.</p>
<p>MODERATE VALUE Change or modification of an operating principle or procedure which has moderate value sufficient to meet the minimum standard for a cash award; improvement of rather limited value of a product, activity, program, or service to the public.</p>	<p>\$25-100 (Compare w/\$250-1,000 Tangible Benefits)</p>	<p>\$100-250 (Compare w/\$1,000-2,500 Tangible Benefits)</p>	<p>\$250-500 (Compare w/\$2,500-5,000 Tangible Benefits)</p>	<p>\$500-1,000 (Compare w/\$5,000-10,000 Tangible Benefits)</p>
<p>SUBSTANTIAL VALUE Substantial change or modification of an operating principle or procedure; an important improvement to the value of a product, activity, program, or service to the public.</p>	<p>\$100-250 (Compare w/\$1,000-2,500 Tangible Benefits)</p>	<p>\$250-500 (Compare w/\$2,500-5,000 Tangible Benefits)</p>	<p>\$500-1,000 (Compare w/\$5,000-10,000 Tangible Benefits)</p>	<p>\$1,000-2,500 (Compare w/\$10,000-60,000 Tangible Benefits)</p>
<p>HIGH VALUE Complete revision of a basic principle or procedure; a highly significant improvement to the value of a product, activity, program, or service to the public</p>	<p>\$250-500 (Compare w/\$2,500-5,000 Tangible Benefits)</p>	<p>\$500-1,000 (Compare w/\$5,000-10,000 Tangible Benefits)</p>	<p>\$1,000-2,500 (Compare w/\$10,000-60,000 Tangible Benefits)</p>	<p>\$2,500-5,000 (Compare w/\$60,000-360,000 Tangible Benefits)</p>
<p>EXCEPTIONAL VALUE Initiation of a new principle or major improvement to the quality of a critical product, activity, program, or service to the public.</p>	<p>\$500-1,000 (Compare w/\$5,000-10,000 Tangible Benefits)</p>	<p>\$1,000-2,500 (Compare w/\$10,000-60,000 Tangible Benefits)</p>	<p>\$2,500-5,000 (Compare w/\$60,000-360,000 Tangible Benefits)</p>	<p>\$5,000-10,000 (Compare w/\$360,000-1,360,000 Tangible Benefits)</p>

TABLE 3 (Time-Off Awards Scale for a single contribution)

Time-Off Awards Scale for a single contribution

Value to Organization

Number of Hours

Moderate:

1 to 10

(1) A contribution to a product, activity, program, or service to the public, which is of sufficient value to merit formal recognition.

(2) Beneficial change or modification of operating principles or procedures.

Substantial:

11 to 20

(1) An important contribution to the value of a product, activity, program, or service to the public.

(2) Significant change or modification of operating principles or procedures.

High:

21 to 30

(1) A highly significant contribution to the value of a product, activity, program, or service to the public.

(2) Complete revision of operating principles or procedures, with considerable impact.

Exceptional:

31 to 40

(1) a superior contribution to the quality of a critical product.

activity, program, or service to the public.

(2) Initiation of a new principle or major procedure, with significant impact.



NOMINATIONS FOR SPECIAL ACT/ SERVICE AWARDS, ON-THE-SPOT AWARDS AND TIME OFF AWARDS


A Request for Personnel Action (RPA) will be used to nominate, approve, process and document each of the following awards:

Special Act or Service Award (SASA)

On-the-Spot (OTS) Cash Award

Time Off Award (TOA)

For each of these awards, the following documentation is required in the notes section of the RPA:

- 
1. A short description of the employee's achievement
 2. The type of award
 3. The dollar amount or number of hours of the award
 4. The value of benefits:

For calculating SASA and OTS Awards based on tangible benefits, use Table 1, (contributions with Tangible Benefits)

For calculating SASA and OTS Awards based on intangible benefits, use Table 2, (Scale of Awards Based on Intangible Benefits)

For TOAs that exceed eight hours determine the value by using Table 3, (Time Off Awards Scale for a Single Contribution)

5. The electronic signatures of the nominating/approving officials



HANDOUT #16

1. The CPOC has implemented a program called 'AUTONOA' which processes Individual cash awards, time-off awards, performance awards and Quality Step Increases (QSIs) without human intervention. Since the program extracts needed information from the RPA, the Gatekeeper Checklist is no longer required. For AUTONOA to process the awards accurately, managers must enter specific information in the RPA as indicated below for the type award requested.

Quality Step Increases (QSIs):

- Select "Salary Change" from the Navigation Menu
- Select "Quality Step Increase"
- On page one of the RPA, enter the Nature of Action of "892" in block 5A.
- On page four of the RPA, PART D, "Remarks" enter the most recent appraisal information as follows:
 Type of Appraisal: Appraisal Rating:
 Approval Date of Appraisal:

Monetary Awards:

- Select "Award/One Time Payment" from the Navigation Menu
- On page one of the RPA:
 - Enter the employee's name in block
 - Enter Nature of Action "840" in block 5A
- On page two of the RPA, enter the dollar amount or the percentage of basic pay in block
- On page four of the RPA, PART D, "Remarks" enter the type of award with one of the following word combinations as written:
 - On-the-spot
 - Performance Award
 - Special Act or Service
- If the award is a performance award, you will need to enter the additional information for the most recent appraisal in the following format:
 Type of Appraisal: Appraisal Rating:
 Approval Date of Appraisal:

Time Off Awards:

- Select "Award/One Time Payment" from the Navigation Menu
- On page one of the RPA:
 - Enter the employee's name in block
 - Enter the Nature of Action "846" in block 5A
- On page two of the RPA, enter the number of hours in block

2. If the RPA does not contain the data requested in #1 above, then the award will error. If appraisal data is needed and the appraisal has not been forwarded to the CPAC, or the appraisal data is not contained on the RPA, PART D, "Remarks", the CPOC will request the information. If the information is not received within 5 days, the RPA will be returned to management.

This is an example of what the Remarks section would look like for a Performance Award:

Request for Personnel Action (CIVDOD Reconstruct Family, Routing Group: NE_REGION)				
Employee	SSN	Nature of Action	Reconstruct History	
Requesting Info	Position Data	Employee and Position Data	Remarks and Address	
PART D - Remarks by Requesting Office (Note to Supervisors: Do you know of additional or conflicting reasons for the employee's resignation/retirement?) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No				
Performance Award, Type of Appraisal: Annual, Rating: Exceptional, Appraisal Approved: 15 Nov 04				
PART E - Employee Resignation/Retirement Reasons for Resignation/Retirement				
Forwarding Address		City	State	
		Zip Code	Country	
PART F - Remarks for SF 50				
Code	Description	Required		
		<input type="checkbox"/>		
		<input type="checkbox"/>		
		<input type="checkbox"/>		
History Extra Information Person Position Others				